SAWS OVERSIGHT PROCESSES BINDER
RECORD OF CHANGE LOG – SECTION 10

SECTION NAME: Consortia Performance Data Collection	
RESPONSIBLE PARTY: George Fisher – C-IV Liaison	
BRIEF DESCRIPTION OF SECTION: This section describes the processes used to collect and interpret project performance data.	

CHANGE LOG

DATE	CHANGE DESCRIPTION/LOCATION	INITIALS

CONSORTIA PERFORMANCE DATA COLLECTION

Background

The SAWS Oversight Unit currently collects various types of project data including metrics for development activities. This is guided by IEEE Standard 1061-1998, Standard for a Software Quality Metrics Methodology.

HHSDC reviewed a variety of literature and developed a metrics framework based largely upon the DoD "Practical Software Measurement" (PSM) model. This approach is also described in IEEE Std 1061-1998 as one that "could be considered in establishing a metrics framework within an organization". A foundational principle of PSM is that specific project issues and objective drive measurement requirements. The discussion of issues and objectives for SAWS oversight, and the development of metrics based upon these issues and objectives, is described in the HHSDC State Oversight Activities Plan.

Process

In order to enhance the independent analysis capability of HHSDC, as recommended by PSM as well as IEEE IV&V guidance, HHSDC has retained specialized consultants to gather and interpret key project metrics. This data is used to help State Oversight staff identify and mitigate SAWS consortium project risk. Other elements are obtained through routine project reporting and deliverable review. The data collected is specific to each consortium's phase in the system life cycle.

Attached are two tables - one that presents the types of information received, how the information is currently received, the frequency of the submission and the specific data elements. The second table is a summary of the performance criteria (per the Oversight Plan), inputs, what is done with the inputs, and the source of the inputs. These tables will be updated as each consortium moves through the various phases of the system life cycle.

#	Information Received	How it is Received	Frequency of Submission	Comments
1	CalWIN - Risk Management Information	Hard copy/soft copy report/e-mail/website	Monthly	This information includes: • Identification of sources of potential risk • Risk item • Risk category • General risk • Potential impacts • Status/comments • Probability • Impact • Priority • Mitigation plans for specific risk items (strategies, approach and contingency plan)

2	CalWIN- Project Status Information	Hard copy/soft copy	Weekly	This information includes:
				• High level completed tasks
				• High level incomplete scheduled tasks
				• High level scheduled activity for next four week period
				• Detailed completed tasks
				• Detailed incomplete scheduled tasks
				• Detailed scheduled activity for next four week period
				• Critical path
				• Major milestones
				• Change requests
				   • Under consideration
				   • Closed
				• Issues
				   • Unresolved
				   • Resolved

#	Information Received	How it is Received	Frequency of Submission	Comments

3	CalWIN – Project Status Information	Hard copy/soft copy	Monthly	• Resource Management (FTE by month)
				• Risk Management
				• Schedule Management
				• Change Management
				   • Cumulative Change Request Disposition
				   • Change Requests Under Consideration by Severity Level
				   • Critical Change Request Detail
				      • Change Requests under Consideration
				      • Closed Change Requests
				• Issue Management
				   • Cumulative Issue Disposition
				   • Unresolved Issues Aging Analysis by Severity Level
				   • Unresolved Issues by Severity Level
				   • Critical Issue Detail
				      • Unresolved Issues
				      • Resolved Issues
				• Financial Management
				   • CalWIN Project Cost Per4formance – Monthly
				   • CalWIN Project Cost Performance – Cumulative
				   • EDS Aged Accounts Receivable
				   • Projected Delivery of Future Deliverables
				• Schedule Management
				   • Key Task Activity During the Current Reporting Period
				   • Key Task Activity Planned for the Next Reporting Period

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#	Information Received	How it is Received	Frequency of Submission	Comments
4	CalWIN – Issue Management Report	Hard Copy/Soft Copy	Monthly	- Issue Status - Issue Request ID - Title - Status - Owner - Severity - Priority - Authoritative Level - Received date - Target review date - Type - Originator - Description - Progress Notes - Disposition Type - Disposition Description - Date Closed
5	CalWIN – Change Request Control Log	Hard Copy	As needed	- Unique identifier assigned to change request - Brief description of the request - Priority or value code associated with the request - The estimate of effort/costs to investigate and/or implement the requested change - Current status - Date of last status change - Identification of the employee/organization assigned to investigate/implement change

#	Information Received	How it is Received	Frequency of Submission	Comments
6	CalWIN – Project Plan	Hard Copy/ Soft Copy	As needed	- Task Name - Baseline Duration - Duration - Baseline Start Date - Start Date - Baseline End Date - End Date - Predecessor Task - Baseline Work - Actual Work - Task Notes - Resource Name - Resource Group - Resource Allocation - Milestones - Critical Path - Reports - Project Summary - Top Level Tasks - Critical Tasks - Milestones - Work Day - Unsaturated tasks - Tasks Starting Soon - Tasks in Progress - Tasks Completed - Should Have Started Tasks - Slipping Tasks - Cash Flow - Budget - Over Budget Tasks - Over Budget Resources - Earned Value - Task Usage - Resource Usage

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#	Information Received	How it is Received	Frequency of Submission	Comments
7	CalWIN – Advance Planning Document Updates	Hard Copy/Soft Copy	As needed	• Project Status • Updated business case • Updated baseline analysis • Updated proposed solution • Updated project scope • Updated requirement statement • Updated project time to completion • Updated Project Plan (to include milestones and deliverables) • Updated Project Resource Plan • Updated Staffing Plan and Organizational Charts • Updated [project management methodology statement • Updated risk management • Updated fiscal requirements
8	CalWIN - Staff Costs	Hard Copy/Soft Copy	Monthly	• Consortium Project Staff • County Support Staff • Consortium Project Team • Consortium Management
9	CalWIN – Consultant Costs	Hard Copy/Soft Copy	Monthly	• Consultants • Development/Implementation • Project Management • Facilities • Consortium Project Team • Consortium Deliverables • County Specific Deliverables • IV&V • QA
10	CalWIN – Site Preparation Costs	Hard Copy	Monthly	• Site costs
11	CalWIN – hardware Costs	Hard Copy	Monthly	• Hardware • Vendor Provided • County Provided
12	CalWIN – Software Costs	Hard Copy	Monthly	• Software • Vendor Provided • County Provided

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#	Information Received	How it is Received	Frequency of Submission	Comments
13	CalWIN - Case Conversion Costs	Hard Copy	Monthly	• Case Conversion • County Conversion Staff • Consortium Project Team • Consortium Deliverables • County Specific Deliverables
14	CalWIN – Travel Costs	Hard Copy	Monthly	• Travel • County Support Staff • Consortium Project Team
15	CalWIN – Training Costs	Hard Copy	Monthly	• Training • County Support Staff • Consortium Project Team • Consortium Deliverables • County Specific Deliverables
16	CalWIN – GovConnect Monthly Report of Activities	Hard Copy/Soft Copy	Monthly	• Highlights GovConnect activities from previous month by project track • Describes activities anticipated for next month • Suggests project-wide and track specific process improvements

17	CalWIN – GovConnect Deliverable Review Results	Hard Copy/Soft Copy	As needed	• Report on deliverable review
				   • Identifies conformity or nonconformity with deliverable specifications and project standards
				   • May be mapped to function and technical requirements

18	CalWIN – Q/A Monitoring Issue and Change Management	Hard Copy/Soft Copy	Weekly Status/Monthly Report	• Reports on follow up activities for each issue and change • Weekly status update and monthly written report
19	CalWIN – UAT Plan	Hard Copy/Soft Copy	As needed	• Documents plan and/or processes and procedures for UAT
20	CalWIN – Project-wide QA Presentation/Report	Hard Copy/Soft Copy	Quarterly	• Highlights recent project activities • Identifies goals for next period • Suggests process improvements • Identifies lessons learned • Identifies training needs

#	Information Received	How it is Received	Frequency of Submission	Comments
21	C-IV – Cost Reports	Hard Copy	Monthly	• Consortium Management (San Bernardino only) • County Planning Manager • Business Modeling and Analysis • IAPD Development • RFP Development • Procurement Support • Site Assessments • Clerical Support • Legal Support • Travel and Per Diem for Consortia Activities • Consortium Planning Consultant (San Bernardino only)
22	LEADER – Status reports from Unisys re: long-term solutions	e-mail	Weekly	• Example of Ad Hoc report instituted by consortium
23	LEADER – Status reports from Ray Johnson (HHSDC Consultant)	e-mail	Weekly	• Example of Ad Hoc report instituted by SAWS oversight
24	LEADER – Budget actuals, projections, adjustments	e-mail/hard copy	Minimum: Twice a year or as needed	
25	LEADER – DOIT Status Report Input	Info via telephone	Monthly	• Status report prepared by HHSDC
26	LEADER – DOIT Risk Assessment Model	e-mail/hardcopy sig. Page	Quarterly	• CalWIN uses its own risk model and does not submit a DOIT RAM. ISAWS submits RAM data as it applies to significant system changes. LEADER and C-IV do submit RAM data.
27	LEADER - Staff Cost	Hard Copy/Soft Copy	Quarterly	• Personnel
28	LEADER – Contractor Costs	Hard Copy/Soft Copy	Quarterly	• Contractor • Development/Implementation • Quality Assurance
29	LEADER – Site Preparation Costs	Hard Copy/Soft Copy	Quarterly	• Site preparation
30	LEADER – Travel Costs	Hard Copy/Soft Copy Hard Copy/Soft Copy	Quarterly	• Travel
31	LEADER – Special Equip Needs Costs	Hard Copy/Soft Copy	Quarterly	• Special Equip Needs
32	LEADER – Supply Costs	Hard Copy/Soft Copy	Quarterly	• Supplies

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Attachment A
HHSDC State Oversight Activities Plan

	Key Performance Criteria for Oversight			
		Input	*What we do with the input*	*Source of the Input*
Early warning of deviations from plan, etc.				
1.0	Are milestone/deliverable dates being met?	Completed Deliverables	Track delivery dates	CalWIN Project
		Project Plan	Compare to plan	CalWIN Project
2.0	Are deliverables complete and of acceptable quality?	Deliverables	Review Selected Deliverables	CalWIN Project
		Results of Consortium Deliverable Review	Evaluate Results of Consortium Reviews	CalWIN Project
		Results of Consultant Review on Selected Deliverables (Tasks 4,5,6)	Evaluate Results of Consultant Reviews	HHSDC Consultants
		Results of State Stakeholder Review on Selected Deliverables	Evaluate Results of Stakeholder Reviews	DOIT; DHS
3.0	How does the resource expenditure (hours) compare to plan?	Hours expended ("burned")	Compare actual to plan	CalWIN Project; Monthly
		Project Plan		CalWIN Project
4.0	What is the current degree of completion and the estimated time to completion of major "in progress" tasks?	Interim (partially completed) deliverables;	Evaluate degree of completion	CalWIN Project
		Vendor Status Reports	Evaluate degree of completion	CalWIN Project; Weekly & Monthly
		Results of Independent Point-in-Time Assessment (Task 7)	Evaluate degree of completion	HHSDC Consultants
		Ongoing assessment of degree of completion of in progress tasks	Evaluate degree of completion	HHSDC Ongoing Observation
		Project Plan	Compare planned to actual for major IP tasks	
5.0	What is the estimated cost and time to complete the project?	Revised product size estimates (Task 3)	Use size estimate as basis for total required level of effort and time to complete; and delta from prior estimates	HHSDC Consultants
		Hours expended ("burned");	Identify cost already incurred to produce deliverables to date	CalWIN Project
		Deliverables produced ("earned")	Identify portion of work completed	CalWIN Project
		Results of Independent Point-in-Time Assessment (Task 7)	Provides independent source of estimates	HHSDC Consultants
		Vendor Status Reports	Evaluate degree of completion	CalWIN Project
		Project Plan	Compare planned to actual and revised estimates if applicable	CalWIN Project
6.0	What effect does the development of the design (i.e. increased specificity and understanding of system detail) have on estimates of system size?	Revised product size estimates (Task 3)	Compare to prior estimates	HHSDC Consultants

	Key Performance Criteria for Oversight			
		Input	_What we do with the input_	_Source of the Input_
		Reports from Requirements Mgmt Tool ("RequisitePro")	Monitor growth/change	CalWIN Project
7.0	Is actual key staff experience consistent with the assumptions used to develop the cost and duration estimates?	Contractor reports of changes to key staff	Compare resumes	CalWIN Project
8.0	Is key staff turnover occurring at a rate that could jeopardize meeting time and cost objectives?	Contractor reports of changes to key staff	Monitor turnover rate; evaluate of impact of turnover	CalWIN Project
A Better Quality Product				
9.0	Are deliverables (e.g. requirements and design documentation) at an adequate level of detail; complete; accurate; and traceable to prior deliverables? (see also #2 above)	Deliverables	Review Selected Deliverables	CalWIN Project
		Results of Consortium Deliverable Review	Evaluate Results of Consortium Reviews	CalWIN Project
		Results of Consultant Review on Selected Deliverables (Tasks 4,5,6)	Evaluate Results of Consultant Reviews	HHSDC Consultants
		Results of State Stakeholder Review on Selected Deliverables	Evaluate Results of Stakeholder Reviews	DOIT; DHS
10.0	Is the Consortium approach to interim deliverable review sufficiently rigorous to identify all material defects?	Deliverables	Review Selected Deliverables	CalWIN Project
		Results of Consortium Deliverable Review	Evaluate Results of Consortium Reviews	CalWIN Project
		Results of Consultant Review on Selected Deliverables (Tasks 4,5,6)	Evaluate Results of Consultant Reviews	HHSDC Consultants
		Results of State Stakeholder Review on Selected Deliverables	Evaluate Results of Stakeholder Reviews	DOIT; DHS
11.0	Are defect rates in line with "industry standard" expectations?	Results of Consultant Tasks 1 & 2	Evaluate Results of Consortium Reviews	HHSDC Consultants
		Published industry averages	Compare to industry averages	Industry Publications
12.0	Is test planning and test transaction development sufficiently rigorous to fully test the system?	Results of Consultant Review - Task 5	Evaluate Results of Consultant Review	HHSDC Consultants
		Results of Consortium Review of Test Plan	Evaluate Results of Consortium Review	CalWIN Project
		Test planning deliverables	Review Selected Deliverables	CalWIN Project
Control Change Order Impact and Cost				

		Input	What we do with the input	Source of the Input
	Key Performance Criteria for Oversight			
		Input	*What we do with the input*	*Source of the Input*
13.0	Are new requirements/change orders causing the overall size of the system (and cost and time) to grow?	Revised product size estimates (Task 3)	Compare to prior estimates	HHSDC Consultants
		Change Orders (if any)	Review change order documentation	
		Reports from Requirements Mgmt Tool ("RequisitePro")	Monitor growth/change	CalWIN Project
14.0	Are requirements changes tracked and accounted for and translated into accurate changes to cost and time estimates?	Results of Consultant Task 13	Evaluate change order documentation with respect to recommended approach	HHSDC Consultants
		Revised product size estimates (Task 3)	Attempt to isolate effect of specific changes	HHSDC Consultants
		Change Orders (if any)	Review change order documentation	CalWIN Project
		Reports from Requirements Mgmt Tool ("RequisitePro")	Monitor growth/change	CalWIN Project
	Reduce Technical Architecture Risk			
15.0	Is there a detailed understanding of the extent to which the proposed architecture is "proven," along with an identification of unproven or higher risk areas?	Consortium reference checks and followup	Evaluate Documentation	CalWIN Project
		Consortium risk assessment	Evaluate Documentation & Process	CalWIN Project
		Results of Consultant Task 9	Evaluate Results of Consultant Review	HHSDC Consultants
16.0	Is the contractor approach to peformance modeling, benchmarking, full load testing, and other peformance related tasks sufficiently rigorous to ensure that system performance requirements will be met in the production environment?	Applicable deliverables	Review Selected Deliverables	CalWIN Project
		Results of Consultant Task 9	Evaluate Results of Consultant Review	HHSDC Consultants
17.0	Are the components of the planned architecture subjected to rigorous configuration management during the development and testing period?	Quarterly update of Contract Exhibit N	Monitor Changes	CalWIN Project
18.0	Are critical performance tests repeated when products (or versions) change during the development and test period?	Contractor test plans; test results	Review Selected Deliverables	CalWIN Project
		Quarterly update of Contract Exhibit N	Monitor Changes	CalWIN Project
		Results of Consultant Task 9	Evaluate Results of Consultant Review	HHSDC Consultants

	Key Performance Criteria for Oversight			
		Input	_What we do with the input_	_Source of the Input_
19.0	Does Consortium level IV&V provide a credible independent assessment of system architecture and vendor performance testing?	Applicable IV&V deliverables	Review Selected Deliverables	CalWIN Project
		Results of Consultant Task 9	Evaluate Results of Consultant Review	HHSDC Consultants